

**IN THE UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS**

UNITED STATES OF AMERICA,

Plaintiff,

vs.

Crim. No. 17-10008-IT

STATE STREET CORPORATION

Defendant.

JOINT STATUS REPORT

The parties respectfully submit this status report and request that the Court keep this matter open.

This deferred action is subject to the Deferred Prosecution Agreement (“DPA”) that the Government filed as an attachment to the pending Information. (ECF No. 1) The DPA provides for a three-year term, subject to extension, that runs from the date State Street retained the monitor contemplated in the agreement. State Street retained the monitor on September 15, 2017. The pandemic and resignation of the monitor (who has taken a position with the United States Securities and Exchange Commission) delayed completion of the monitor’s work. The monitor’s report has been completed and State Street is in the process of responding to it. The parties expect to reach agreement on the extent of any extension of the term of the DPA and monitorship, now set to expire November 1, 2021, in the coming weeks.

The DPA also provides that the Government need not dismiss the Information with prejudice until six months after the end of the DPA’s term. Accordingly, the parties jointly request that the Court keep this matter open and propose to submit another status report no later than February 15, 2022.

Respectfully submitted,

STATE STREET CORPORATION

By its attorneys:

/s/ John J. Butts

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NATHANIEL E. MENDELL

Acting U.S. Attorney

By: /s/ Stephen E. Frank

Stephen E. Frank

Assistant United States Attorney

Dated: October 19, 2021

CERTIFICATE OF SERVICE

I, John J. Butts, hereby certify that this notice filed through the ECF system will be sent electronically to the registered participants as identified on the Notice of Electronic Filing (NEF) and paper copies will be sent by mail to those indicated as non-registered participants on this day.

/s/ John J. Butts

John J. Butts